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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

JAN 07 2002  
Application of: Chaoxin C. Qiu et al.

Filed: October 3, 2001

For: RESOURCE MANAGEMENT ARCHITECTURE FOR USE IN  
INFORMATION STORAGE ENVIRONMENTS

Serial No.: 09/970,457

Group Art Unit: Unknown

Examiner: Unknown

Atty Docket No.: SURG:160

Pursuant to 37 C.F.R. 1.8, I certify that this correspondence is being deposited with the U.S. Postal Service in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on the date below:

12-4-01  
Date

*Julie Ferrare*  
Name

BOX MISSING PARTS  
Assistant Commissioner For Patents  
Washington, D.C. 20231

Dear Sir:

Transmitted herewith for filing are:

- New Patent Application consisting of \_\_\_\_ pages
- Continued Prosecution Application (37 CFR §1.53(d)) -- The parent application is USSN \_\_\_\_ filed on \_\_\_\_\_. The prior Examiner was \_\_\_\_ in Group Art Unit \_\_\_\_.
- Notice to File Missing Parts - Part 2 copy
- Assignment and Recordation Cover sheet
- Inventor's Declaration
- Information Disclosure Statement
- Petition for a \_\_\_\_ month extension of time

- Response to Office Action
- Preliminary Amendment
- Formal Drawings (Figs , sheets)
- Informal Drawings
- Notice of Appeal
- An Appeal Brief (an original and two copies)
- Check in the amount of \$732.00
- The Commissioner is authorized to deduct any requisite fees under 37 CFR 1.16 to 1.21 from, or deposit any credits to, Deposit Account No. 10-1205/SURG:160, including any concurrent or future required extension of time fees.

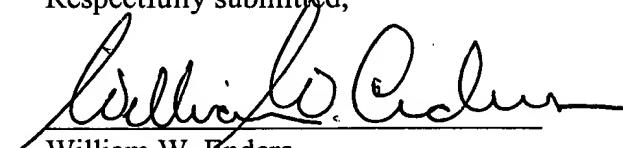
### FEE CALCULATION:

CLAIMS	(1) FOR	(2) NUMBER FILED	(3) NUMBER EXTRA	(4) RATE	(5) CALCULATIONS
	Total Claims (37 CFR 1.16(e))	<u>53</u> - 20 =	33	x \$ 18.00	\$ 594.00
	Independent Claims (37 CFR 1.16(b))	<u>3</u> - 3 =	0	x \$ 84.00	\$ 0
	MULTIPLE DEPENDENT CLAIMS (if applicable) (37 CFR 1.16(d))			x \$ 280.00	\$
				Basic Fee (37 CFR 1.16(a))	\$ 740.00
			Total of above Calculations =		\$ 1334.00
	Reduction by 50% for filing by Small Entity (Note: 37 CFR 1.9, 1.27, 1.28)				\$ 667.00
	Surcharge for submission of Response to Missing Parts if applicable (\$130)				\$ 65.00
	ASSIGNMENT RECORDATION FEE (IF FILED WITH APPLICATION) \$40				\$
				TOTAL =	\$ 732.00

- Postcard. Please date stamp and mail this postcard to acknowledge receipt of the enclosed documents.
- Other:

The Examiner is invited to contact the undersigned at 512-347-1611 with any questions or comments, or to otherwise facilitate expeditious prosecution of the application.

Respectfully submitted,



William W. Enders  
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Attorney for Applicant

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## UNITED STATES PATENT AND TRADEMARK OFFICE

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COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/970,457	10/03/2001	Umesh Gupta	SURG:160

CONFIRMATION NO. 3305

## FORMALITIES LETTER



\*OC000000007010994\*

William W. Enders  
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Building C, Suite 200  
1101 Capital of Texas Highway South  
Austin, TX 78746

Date Mailed: 11/02/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

## FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 370 to complete the basic filing fee for a small entity.*
- Total additional claim fee(s) for this application is \$297.
  - \$297 for 33 total claims over 20.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 732.**

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*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

01/10/2002 AGOITOM 00000053 09970457

01 FC:201	370.00 OP
02 FC:205	65.00 OP
03 FC:203	297.00 OP